



North Carolina Department of Health and Human Services
Division of Mental Health, Developmental Disabilities and Substance Abuse Services
3007 Mail Service Center • Raleigh, North Carolina 27699-3007
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Michael F. Easley, Governor
Carmen Hooker Odom, Secretary

Richard J. Visingardi, Ph.D, Director

December 9, 2003

MEMORANDUM

TO: Area Directors and Fiscal Officers

FROM: Flo Stein, Chief, Community Policy Management Section
Leza Wainwright, Team Leader, Budget and Finance Team

THROUGH: Janice Petersen, Team Leader, Prevention/Early Intervention Team
Spencer Clark, Director of Operations and Clinical Services

RE: Transfer of SAPTBG Prevention Funds and SDFSCA Governor's Funds to Non-UCR

We have heard concerns from a number of area programs and contract agencies regarding the difficulty they are having in earning the prevention portion of the Substance Abuse Prevention and Treatment Block Grant (SAPTBG) and Safe and Drug-Free Schools and Communities Act (SDFSCA) funds. In reviewing IPRS earnings reports, we have determined that the problem appears to be widespread. Therefore, the remaining balances in these two fund accounts (UCR Child SA Prevention: 536911-1491 and UCR Drug Free Schools: 536965-1491) are immediately being transferred to Non-UCR for SFY 03-04. This will provide area programs with a start-up period for the current fiscal year to allow them to establish new prevention contracts, hire the necessary prevention staff, and establish or enhance service systems for the planning and delivery of evidence-based prevention programs according to the guidelines communicated below, and those previously communicated by Dr. Visingardi in his correspondence of April 15, 2003.

Effective immediately through June 30, 2004, programs should request to be reimbursed for allowable prevention expenditures through the submission of monthly Financial Status Reports (FSRs). This may include any unreimbursed prevention expenditures from July 1, 2003 through June 30, 2004. Allowable expenditures for Child Substance Abuse Prevention services are detailed below.

In order to prevent the further accumulation of units reported to IPRS, programs should immediately cease billing under IPRS for substance abuse prevention services under CSSP, CSIP, and CSAO. Under CSSP and CSIP, excluded services should be H0001, H0002, H0025, YP498 and YP499. Under CSAO, excluded services should be YP110, and YP498 and YP499 when travel is directly associated with the delivery of YP110. IPRS categories for prevention target populations are being closed immediately, and future claims will be denied.

Please note, all prevention programs and services will be reintegrated into IPRS on July 1, 2004. Programs should use the remainder of the current fiscal year under Non-UCR funding to build their service capacities to operate within IPRS at the same level of funding for SFY 04-05.



Key directions that have already been established for prevention in Dr. Visingardi's correspondence of April 15, 2003 will remain in place, in addition to several changes that are described below. These include the following:

1. Use of Approved Evidence-Based Substance Abuse Prevention Programs

Area programs and contract agencies are required to utilize an evidenced-based Substance Abuse Prevention Program in one of three nationally approved categories: Promising Programs, Effective Programs, or Model Programs, that have been endorsed by CSAP, DOE, OJJ, NIDA, NIAAA, or CDC.

2. Provision of SAPTBG Child Substance Abuse Universal Prevention

Effective July 1, 2003 through June 30, 2004, **up to 50%** of your SAPTBG Child Substance Abuse Prevention allocation may be devoted to services that are delivered in approved evidence-based programs categorized as **Universal Prevention**, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance Abuse Universal Prevention Programs are those directed at individuals in the general population of youth who do not require treatment for substance abuse. Such programs are aimed at educating and advising individuals on such abuse and providing for designated non-treatment activities to reduce the risk of such abuse. These activities shall be focused on information sharing and program delivery as a part of the evidence based prevention programming **delivered in communities in non-school settings**. These services shall be delivered in accordance with a plan of action and documented as Child Substance Abuse Consultation, Education, and Primary Prevention (C, E, & PP) Services according to the requirements of the revised *Service Records Manual*. **Synar activities are included as a part of these Universal Prevention services.** A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.

3. Provision of SAPTBG Child Substance Abuse Selective and Indicated Prevention

Effective July 1, 2003 through June 30, 2004, **a minimum of 50%** of SAPTBG Child Substance Abuse Prevention services must be delivered in approved evidence-based programs categorized as **Selective and/or Indicated Prevention**, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance abuse prevention services shall be delivered according to the requirements for Behavioral Health Prevention Education Services, and are required to be documented according to the requirements for either the regular client record, or the Substance Abuse Prevention Services Record, that are published in the revised *Service Records Manual*. Behavioral Health Prevention Education Services for Selective or Indicated populations is a Child Substance Abuse service designed to prevent or delay the first use of substances or to reduce or eliminate the use of substances. This is a non-Medicaid service that is preventative in nature and is not intended for individuals who have been determined to have a diagnosable substance abuse disorder that requires treatment. A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.



4. Provision of SDFSCA Governor's Child Substance Abuse Selective Prevention

Effective July 1, 2003 through June 30, 2004, your SDFSCA Governor's Child Substance Abuse Prevention services shall be delivered in approved evidence-based programs categorized as **Selective Prevention**, that are directed towards children and adolescents under 18 years of age and/or their parents. Substance abuse prevention services shall be delivered according to the requirements for Behavioral Health Prevention Education Services, and are required to be documented according to the requirements for either the regular client record, or the Substance Abuse Prevention Services Record, that are published in the revised *Service Records Manual*. Behavioral Health Prevention Education Services for Selective populations is a Child Substance Abuse service designed to prevent or delay the first use of substances. This is a non-Medicaid service that is preventative in nature and is not intended for individuals who have been determined to have a diagnosable substance abuse disorder that requires treatment. A qualified provider of this service shall be a substance abuse professional who meets the criteria established for the delivery of Behavioral Health Prevention Education Services as outlined in Dr. Visingardi's correspondence of April 15, 2003.

5. Delivery of Substance Abuse Prevention Services to Child Mental Health Clients

Based on the expressed desires of area programs and contract agencies to utilize SAPTBG Child Substance Abuse Prevention Funds and SDFSCA Governor's Funds to be able to fund services to the Child Mental Health population, we are immediately opening up the funding for our Child Substance Abuse Prevention programs to Child Mental Health clients. This is a change from our previously communicated policy by Dr. Visingardi of April 15, 2003 that prohibited the use of these funds for the delivery of Substance Abuse Selective and Indicated Prevention services to diagnosed Child Mental Health treatment populations. When substance abuse prevention services are provided to children and adolescents who are being served, or have been served, in the Child Mental Health population, required substance abuse prevention elements for child risk assessment, progress notes, and prevention outcomes shall be recorded in either the regular client record, or the Substance Abuse Prevention Services Record. In either circumstance, there shall be documentation in the record(s) of coordination of service provision between current providers of mental health treatment and substance abuse prevention services.

6. Prevention Services Monthly Summary Requirement for Non-UCR Activities

In order to provide increased accountability and to facilitate state level program planning and evaluation, a Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities for SAPTBG funds, and one for SDFSCA funds, is required for the reporting on designated CSA Prevention staff activities for the months of January 2004 through June 2004. This Summary details the evidence-based program(s) being implemented, by category of services delivered by whom, and for what sub-category of participants. Enclosed is a form for each funding source, to be utilized to report these monthly activities. The Monthly Summary allows for the accurate accounting of designated Substance Abuse Prevention staff hours spent in direct and indirect prevention activities under the SAPTBG and/or SDFSCA Governor's funds.

The SAPTBG Monthly Summary is to be completed for all direct and indirect service activities provided by designated Child Substance Abuse Prevention professionals whose positions and prevention expenditures are being reimbursed through the SAPTBG.



Transfer of SAPTBG Prevention Funds and SDFSCA Governor's Funds to Non-UCR

The SDFSCA Governor's Monthly Summary is to be completed for all direct and indirect service activities provided by designated Child Substance Abuse Prevention professionals whose positions and expenditures are being reimbursed through the SDFSCA funds.

Each Summary is to be submitted on the 10th of each month following the month summarized. For example, the January 2004 Summary is due on February 10, 2004. Summaries should be submitted to Dr. Janice Petersen, Prevention/Early Intervention Team, at 3021 Mail Service Center, Raleigh, NC 27699-3021, or at Janice.Petersen@ncmail.net. For questions, contact Dr. Petersen at (919) 715-5989. (An electronic copy of each form is available upon request. As necessary, forms may be duplicated).

7. Allowable Expenditures for Child Substance Abuse Prevention

All area programs and sub-contractors must agree to provide substance abuse prevention services within the stated parameters of this memorandum and Dr. Visingardi's correspondence of April 15, 2003.

Area programs may request reimbursement for expenditures associated with designated prevention staff activities related to the delivery of Child Substance Abuse Prevention Services as described above. Area programs are allowed to utilize up to 13% of reported expenditures for necessary administrative costs related to supporting substance abuse prevention services. All staff expenditures, supplies, purchase of prevention materials, training and travel must be related to the provision of evidence-based programming for Child Substance Abuse Prevention services by designated qualified substance abuse staff. Any capital expenditure in excess of \$3000 must be approved in writing by the State Prevention Office staff prior to purchase. Detail of all prevention expenditures shall be subject to review by local, state, and federal auditors, and Division staff.

Any questions about this service delivery and programming, staff qualifications, service records requirements, or monthly reporting should be directed to Dr. Janice Petersen, Team Leader of the Prevention and Early Intervention Team (Office of Prevention) at 919-715-5989 or Janice.Petersen@ncmail.net. Questions regarding Financial Status Reports (FSRs) should be directed to Kristi Hickman at kristi.hickman@ncmail.net.

Thank you for your attention to this matter.

Enclosures (2)

cc: Carmen Hooker Odom, DHHS Secretary
Lanier Cansler, DHHS Deputy Secretary
Jim Bernstein
Executive Leadership Team
Carol Duncan Clayton, NC Council of Community Programs
Robin Huffman
Mike Mayer
Patrice Roesler
Kaye Holder
Bob Duke
Regional Accountants





Division of Mental Health, Developmental Disabilities, and Substance Abuse Services
Community Policy Management Section

SDFSCA Governor's Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

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|------------------|---------------------------------|---|----------------|
| Area Program/LME | Contract Agency (if applicable) | Name & Signature of Person Completing Summary | Date Submitted |
|------------------|---------------------------------|---|----------------|

Summary Period (Check ☒ one): ___Jan/04 ___Feb/04 ___Mar/04 ___Apr/04 ___May/04 ___Jun/04

Instructions: Substance Abuse Prevention Programs are those directed at individuals who do not require treatment for substance abuse. Such programs are aimed at educating and advising individuals on such abuse and providing for designated non-treatment activities to reduce the risk of such abuse. The SDFSCA Governor's Prevention Services Monthly Summary of Non-UCR Activities is to be completed for all Direct and Indirect Service activities provided by designated Child Substance Abuse Prevention staff whose positions and expenditures are being reimbursed through the SDFSCA funds. Summary is to be submitted on the 10th of each month following the month summarized. For example, the January 2004 Summary is due on February 10, 2004. **Submit to Dr. Janice Petersen, Prevention/Early Intervention Team, at 3021 Mail Service Center, Raleigh, NC 27699-3021, or at Janice.Petersen@ncmail.net.** For questions, contact Dr. Petersen at (919) 715-5989. (Electronic copy of form is available upon request. As necessary, form may be duplicated).

| Name of Approved Evidence-Based CSA <u>Selective</u> Program(s) Being Implemented | | CSA Prevention Program Category (Check <input checked="" type="checkbox"/> one per program) | | | | | | | |
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| | | Promising | Effective | Model | | | | | |
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| 2. | | | | | | | | | |
| 3. | | | | | | | | | |
| Printed Name of Each Designated CSA Prevention Professional Supported Through SDFSCA Governor's Prevention Funds | Monthly Total No. of Hrs. of Each Staff Position Reim- bursed through SDFSCA Gov. Prev. Funds | No. of Designated CSA Prevention Staff Hours Utilized in <u>Provision of Direct Service Prevention Activities</u> (Documented in either the <u>Client Record</u> or in the <u>Service Record</u> for Consultation, Education, and Primary Prevention) | | | | No. of Designated CSA Prevention Staff Hours Utilized in <u>Completion of Indirect Service Prevention Activities</u> | | | |
| | | # Hrs. Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110) | # Hrs. Provided in CSA Prevention to Parents and/or Residential Caregivers (H0001, H0002, H0025, YP110) | # Hrs. Provided in CSA Prevention to All Other Individuals (YP110) | # Hrs. in Travel to Provide CSA Prevention Services (YP498, YP499) | # Hrs. of CSA Prevention Program Planning and/or Preparation | # Hrs. of CSA Prevention Services Documen- tation and/or Evaluation Activities | # Hrs. of CSA Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training | # Hrs. of All Other CSA Prevention Indirect Service Activities |
| <i>Example: Al Jackson</i> | 160 | 50 | 20 | 10 | 8 | 40 | 20 | 10 | 2 |
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Division of Mental Health, Developmental Disabilities, and Substance Abuse Services
Community Policy Management Section

SDFSCA Governor's Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LME _____ Contract Agency (if applicable) _____ Name & Signature of Person Completing Summary _____ Date Submitted _____

Summary Period (Check ☒ one): ___Jan/04 ___Feb/04 ___Mar/04 ___Apr/04 ___May/04 ___Jun/04

| Name of Approved Evidence-Based CSA <u>Selective</u> Program(s) Being Implemented | | CSA Prevention Program Category (Check <input checked="" type="checkbox"/> one per program) | | | | | | | |
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| | | Promising | Effective | Model | | | | | |
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| 2. | | | | | | | | | |
| 3. | | | | | | | | | |
| Printed Name of Each Designated CSA Prevention Professional Supported Through SDFSCA Governor's Prevention Funds | Monthly Total No. of Hrs. of Each Staff Position Reim- bursed through SDFSCA Gov. Prev. Funds | No. of Designated CSA Prevention Staff Hours Utilized in <u>Provision of Direct Service Prevention Activities</u> (Documented in either the <u>Client Record</u> or in the <u>Service Record</u> for Consultation, Education, and Primary Prevention) | | | | No. of Designated CSA Prevention Staff Hours Utilized in <u>Completion of Indirect Service Prevention Activities</u> | | | |
| | | # Hrs. Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110) | # Hrs. Provided in CSA Prevention to Parents and/or Residential Caregivers (H0001, H0002, H0025, YP110) | # Hrs. Provided in CSA Prevention to All Other Individuals (YP110) | # Hrs. in Travel to Provide CSA Prevention Services (YP498, YP499) | # Hrs. of CSA Prevention Program Planning and/or Preparation | # Hrs. of CSA Prevention Services Documen- tation and/or Evaluation Activities | # Hrs. of CSA Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training | # Hrs. of All Other CSA Prevention Indirect Service Activities |
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SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

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|------------------|---------------------------------|---|----------------|
| Area Program/LME | Contract Agency (if applicable) | Name & Signature of Person Completing Summary | Date Submitted |
|------------------|---------------------------------|---|----------------|

Summary Period (Check ☒ one): ☐ Jan/04 ☐ Feb/04 ☐ Mar/04 ☐ Apr/04 ☐ May/04 ☐ Jun/04

Instructions: Substance Abuse Prevention Programs are those directed at individuals who do not require treatment for substance abuse. Such programs are aimed at educating and advising individuals on such abuse and providing for designated non-treatment activities to reduce the risk of such abuse. The SAPTBG CSA Prevention Services Monthly Summary of Non-UCR Activities is to be completed for all Direct and Indirect Service activities provided by designated Child Substance Abuse Prevention staff whose positions and expenditures are being reimbursed through the SAPTBG. Summary is to be submitted on the 10th of each month following the month summarized. For example, the January 2004 Summary is due on February 10, 2004. **Submit to Dr. Janice Petersen, Prevention/Early Intervention Team, at 3021 Mail Service Center, Raleigh, NC 27699-3021, or at Janice.Petersen@ncmail.net.** For questions, contact Dr. Petersen at (919) 715-5989. (Electronic copy of form is available upon request. As necessary, form may be duplicated).

| Name of Approved Evidence-Based CSA Prevention Program(s) Being Implemented | | CSA Prevention Program Category (Check <input checked="" type="checkbox"/> one per program) | | | | CSA Prevention Program Type (Check <input checked="" type="checkbox"/> one per program) | | | |
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| 3. | | | | | | | | | |
| Printed Name of Each Designated CSA Prevention Professional Supported Through SAPTBG Prevention Funds | Monthly Total No. of Hrs. of Each Staff Position Reim-bursed Through SAPTBG CSA Prev. Funds | No. of Designated CSA Prevention Staff Hours Utilized in <u>Provision of Direct Service Prevention Activities</u> (Documented in either the <u>Client Record</u> or in the <u>Service Record</u> for Consultation, Education, and Primary Prevention) | | | | No. of Designated CSA Prevention Staff Hours Utilized in <u>Completion of Indirect Service Prevention Activities</u> | | | |
| | | # Hrs. Provided in CSA Prevention to Children and/or Adolescents (H0001, H0002, H0025, YP110) | # Hrs. Provided in CSA Prevention to Parents and/or Residential Caregivers (H0025, YP110) | # Hrs. Provided in CSA Prevention to All Other Individuals (YP110) | # Hrs. in Travel to Provide CSA Prevention Services (YP498, YP 499) | # Hrs. of CSA Prevention Program Planning and/or Preparation | # Hrs. of CSA Prevention Services Documen-tation and/or Evaluation Activities | # Hrs. of CSA Prevention Staff in Providing or Receiving Prevention Staff Supervision and/or Training | # Hrs. of All Other CSA Prevention Indirect Service Activities |
| <i>Example: Sally Roberts</i> | 160 | 48 | 18 | 16 | 6 | 30 | 15 | 20 | 7 |
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SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

Area Program/LME _____ Contract Agency (if applicable) _____ Name & Signature of Person Completing Summary _____ Date Submitted _____

Summary Period (Check ☒ one): ___Jan/04 ___Feb/04 ___Mar/04 ___Apr/04 ___May/04 ___Jun/04

| Name of Approved Evidence-Based CSA Prevention Program(s) Being Implemented | | CSA Prevention Program Category (Check <input checked="" type="checkbox"/> one per program) | | | | CSA Prevention Program Type (Check <input checked="" type="checkbox"/> one per program) | | | |
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| | | Promising | Effective | Model | | Selective | Indicated | Universal | Synar |
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SAPTBG Child Substance Abuse Prevention Services Monthly Summary of Non-UCR Activities: SFY 03-04

| Area Program/LME | Contract Agency (if applicable) | Name & Signature of Person Completing Summary | Date Submitted |
|--|---------------------------------|---|----------------|
| Summary Period (Check <input checked="" type="checkbox"/> one): <input type="checkbox"/> Jan/04 <input type="checkbox"/> Feb/04 <input type="checkbox"/> Mar/04 <input type="checkbox"/> Apr/04 <input type="checkbox"/> May/04 <input type="checkbox"/> Jun/04 | | | |